

PROPOSITION 116
NON-URBAN COUNTY TRANSIT
PROJECTS MANUAL

California Transportation Commission
Clean Air and Transportation Improvement Act
Proposition 116

NON-URBAN COUNTY TRANSIT PROJECTS MANUAL

Memorandum

TO : MR. ROBERT CHUNG
Deputy Director for Mass Transportation
California Transportation Commission

Date : February 21, 1992

File No. : (F) Proposition 116

Attention Mr. Richard Vargas

From : DEPARTMENT OF TRANSPORTATION
DIVISION OF MASS TRANSPORTATION

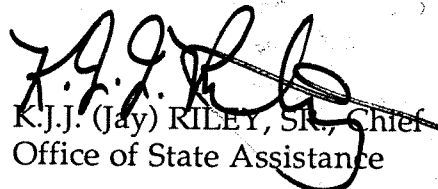
Subject : Clean Air and Transportation Improvement Act for Non-Urban Counties

Attached for your review are three "draft" copies of the revised Clean Air and Transportation Improvement Act, Proposition 116, Non-Urban County Transit Projects Manual that was developed by the Division of Mass Transportation, in conjunction with your staff and the Rural Counties Task Force. In addition, we have attached three "draft" copies of the revised Proposition 116 Policy Guidelines and Application for the Clean Air and Transportation Act for Non-Urban Counties. The original guidelines and application were adopted by the California Transportation Commission (CTC) on June 23, 1991 (Resolution No. G-91-6). The revisions in each document are shown underlined, if added, or lined through, if deleted.

Pursuant to our conversation, it is my understanding that you and your staff will place the Non-Urban County Transit Projects Manual and the revised Proposition 116 Policy Guidelines and Application on the CTC agenda for information in March and for action in April.

Copies of the revised manual are being mailed with the Rural Counties Task Force agenda, for discussion at their March 9, 1992 meeting.

To expedite the final revision of the manual, it would be helpful to have CTC staff comments by the March 9 meeting with the Rural Counties Task Force. If it would be beneficial to meet and discuss this document prior to that meeting, we are available at your convenience.


K.J.J. (Jay) RILEY, Sr., Chief
Office of State Assistance

Attachments

cc: Robert I. Remen w/attachment
Allan H. Hendrix w/attachment

Page Two
Mr. Riley
March 4, 1992


40. Non Urban County Projects Mean: (see Section 99628).
a. Railroad grade crossing improvements, acquisition of railroad right-of-way for rail transportation purposes, rail passenger or other rail stations, railroad soundwalls, and other local rail improvements for safety, and rail corridor studies which include capital improvement and operating plans for expanded passenger rail service.

Non Urban County project Application Guidelines:

III. Qualifying Non Urban County Projects
A. Amend same as #40 above.

Thank you very much for considering our views.

Sincerely,


James K. Knox
Urban Affairs Director

cc: Bob Remen, CTC

Memorandum

To: Chairman and Commissioners

File No.: M26.4
BOOK ITEM 4.6
ACTION

From: 
Robert I. Remen

Date: October 7, 1991

Ref.: PROPOSITION 116 NON-URBAN COUNTY PROGRAM: APPROVAL OF POPULATION AND ALLOCATION AMOUNTS

The Commission adopted the Non-Urban County Policy and Application Guidelines (G-91-6) at its June 1991 meeting. At that time the 1990 federal decennial census population numbers were not final, because the U.S. Department of Commerce was still considering correcting the count.

When the guidelines were adopted, the Commission indicated that it would adopt the official population counts from the federal decennial census for the 28 non-urban counties designated in Proposition 116 when they became official.

The population counts in Attachment 1 are for the Proposition 116 28 non-urban counties and are based upon the 1990 federal decennial census. Under Proposition 116 the \$73 million is allocated to the 28 counties on a per capita basis, that is the eligible counties would receive a percentage of the \$73 million based upon that county's population, divided by the 28 counties' total population. The funding each county could be allocated is shown on Attachment 1, providing the eligible county has submitted an application prior to December 31, 1992. After the December deadline, the remaining funds would be re-allocated among the 28 counties on a competitive basis.

Staff recommends that the Commission adopt the population counts and the funds available for allocation to each of the eligible non-urban counties.

RIR:RC:cv
131:CV16

Attachment



**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT OF 1990
NON-URBAN COUNTY PROGRAM**

**PUBLIC TRANSPORTATION CAPITAL GRANT ALLOCATION
RURAL COUNTY PUBLIC TRANSPORTATION CAPITAL GRANTS
ALLOCATION***

COUNTY	PROJECTED POP. AS OF 04/90**	POP %	ALLOCATION
ALPINE	1,113	.000710	51,886.
AMADOR	30,039	.019180	1,400,203.
BUTTE	182,120	.116289	8,489,131.
CALAVERAS	31,998	.020431	1,491,517.
COLUSA	16,275	.010392	758,624.
DEL NORTE	23,460	.014979	1,093,537.
EL DORADO	125,995	.080451	5,872,985.
GLENN	24,798	.015834	1,155,905.
IMPERIAL	109,303	.069793	5,094,924.
INYO	18,281	.011673	852,129.
LAKE	50,631	.032329	2,360,054.
LASSEN	27,598	.017622	1,286,421.
MARIPOSA	14,302	.009132	666,657.
MODOC	9,678	.006179	451,119.
MONO	9,956	.006357	464,077.
NAPA	110,765	.070727	5,163,071.
NEVADA	78,510	.050131	3,659,574.
PLUMAS	19,739	.012603	920,091.
SAN BENITO	36,697	.023432	1,710,552.
SAN LUIS OBISPO	217,162	.138664	10,122,538.
SHASTA	147,036	.093887	6,853,766.
SIERRA	3,318	.002118	154,661.
SISKIYOU	43,531	.027795	2,029,103.
SUTTER	64,415	.041131	3,002,566.
TEHAMA	49,625	.031687	2,313,162.
TRINITY	13,063	.008341	608,903.
TUOLUMNE	48,456	.030940	2,258,672.
YUBA	58,228	.037180	2,714,172.
TOTAL	1,566,092	100%	\$73,000,000.

* Public Utilities Code Section 99628

** Census Population for California Cities & Counties: 1990 & 1980 **Report SR 91-1 (January 25, 1991)**
Department of Finance, Demographic Research Unit.



09/06/91

California Transportation Commission
Clean Air and Transportation Improvement Act
Proposition 116

NON-URBAN COUNTY TRANSIT PROJECTS MANUAL

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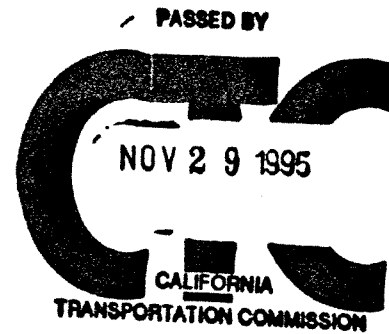
- 1. General Policies**
- 2. Application Guidelines**
- 3. Application Forms**
- 4. Supplemental Non-Urban Instructions**
- 5. Allocation Request**
- 6. Progress Report**
- 7. Financial Guidelines**
- 8. Appendix**
 - A) Commission Policies**
 - B) Proposition Language**
 - C) Management and Financial Review**
 - D) Glossary of Terms**
 - E) Resolution Checklist**

The areas of the document that were amended are shown underlined (if added) or lined through (if deleted).

1. CALIFORNIA TRANSPORTATION COMMISSION

POLICIES FOR

NON-URBAN COUNTY TRANSIT PROJECTS



CALIFORNIA TRANSPORTATION COMMISSION

Policies for the Clean Air and Transportation Improvement Act (Proposition 116) Non-Urban County Transit Projects Guidelines

Resolution G-95-22 Amending Resolution G-91-6

- 1.1 WHEREAS, in June 1990 the voters approved Proposition 116, the Clean Air and Transportation Improvement Act (CATIA), for \$1.99 billion for rail and mass transportation purposes; and
- 1.2 WHEREAS, the California Transportation Commission is designated in Proposition 116 to oversee the five grant programs over the twenty-year term of the Proposition; and
- 1.3 WHEREAS, Proposition 116 calls for the Commission to establish an application process and to develop and adopt guidelines to implement those programs; and
- 1.4 WHEREAS, the Commission adopted Resolution G-91-6: "Policies for the Clean Air and Transportation Improvement Act Non-Urban County Transit Projects" on June 23, 1991, to serve as guidelines to implement Non-Urban County Transit projects; and
- 1.5 WHEREAS, the Commission revised Resolution G-91-6: "Policies for the Clean Air and Transportation Improvement Act Non-Urban County Transit Projects" on April 10, 1992; and
- 1.6 WHEREAS, Proposition 116 Non-Urban County grant recipients should have the ability to begin delivering a project as soon as possible after a project is approved.
- 2.1 NOW THEREFORE BE IT RESOLVED, that the Commission hereby amends Resolution G-91-6: "Policies for the Clean Air and Transportation Improvement Act Non-Urban County Transit Projects" with the attached: "Policies for the Clean Air and Transportation Improvement Act (Proposition 116) Non-Urban County Transit Projects Guidelines", to serve as revised guidelines to implement Non-Urban County Transit projects; and
- 2.2 NOW THEREFORE BE IT FURTHER RESOLVED, that the Commission hereby approves the attached Advance Expenditure of Local Funds Agreement as a means to allow a Proposition 116 Non-Urban County grant recipient to begin to expend local funds eligible for reimbursement, after a project is approved by the Commission.

1. CALIFORNIA TRANSPORTATION COMMISSION

POLICIES FOR

NON-URBAN COUNTY TRANSIT PROJECTS



**POLICIES FOR THE
CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECTS**

Revised November 29, 1995

GENERAL POLICIES

1. The Commission, as the designated policy body in the Clean Air and Transportation Improvement Act (CATIA) of 1990, will implement the CATIA in a timely, cost effective, and efficient manner.
2. The Commission shall, to the extent feasible, integrate the CATIA process with the State Transportation Improvement Program (STIP) and Transit Capital Improvement (TCI) program process to minimize multiple application cycles and duplicate applications, while not delaying any CATIA projects proposed for funding.
3. The Commission will award grants as specified in the CATIA and ensure that the CATIA is implemented over the term of the ACT from 1990 to 2010.
4. The Commission prefers to implement this grant program so as to assure that use of CATIA funds will implement the non-urban county program no later than the year 2000.
5. The Commission will seek to maximize the use of funds in the CATIA and other funding sources to provide for the non-urban county program.
6. The Commission shall allocate funds on a per capita basis, based on the 1990 Federal Decennial Census.
7. The Commission will only accept eligible grant applications for non-urban county projects as defined or identified in the CATIA (see Policy 38).
- 8a. The Commission shall require that all non-urban county project equipment and facilities be fully accessible to older persons, persons with disabilities (including wheelchair users) and be reasonably accessible to bicycles.
- 8b. The Commission shall further require that grants for the establishment of separate bicycle paths and ways be awarded only if the California Department of Transportation determines that the route will be principally used by bicycle commuters.
9. The Commission shall require the eligible grant applicants and the implementing agencies to demonstrate that the non-urban county projects do not duplicate existing service and facilities and are coordinated with other transit services.

**Clean Air and Transportation Improvement Act
Non-Urban County Transit Projects
Policies**

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10. The Commission shall review annually, and as necessary, amend the CATIA policy guidelines, application guidelines, and financial guidelines to ensure that the program reflects current law as well as Commission policies and programs.
11. The Commission shall not permit Passenger Rail and Clean Air Bond Act funds, based on state law, Chapter 1599, 1990, (SB 2592, Kopp), or other state funds to be matched with CATIA funds.
12. The Commission intends that if CATIA bond issues are not sold as anticipated, the amount available to each eligible grant applicant during that time period will be reduced proportionately for that bond issue as allowed by CATIA Section 99604.
13. The Commission may, if it has not received applications by December 31, 1992, for all of the funds available for allocation pursuant to section 99628, reallocate the remaining funds on the basis of a competitive grant program to the counties specified in subdivision (a) of Section 99628.

PROGRAM POLICIES

14. All eligible grant applicants shall be encouraged to coordinate and work closely with the Commission (through its staff or consultant) and affected agencies during the early preparation stage of the eligible grant application prior to submittal. Advance review by the Commission and the affected agencies is intended to assure timely review of the grant application submittal.
15. All eligible grant applications for non-urban county projects shall be submitted by December 31, 1992 in conformance with the following:
 - a. A total project application must be submitted for annual element projects. The application shall include a complete description of the project, a financial plan, an operating plan and a cash flow expenditure plan over the life of the project.
 - b. An application must also be submitted for each proposed project beyond the first year prior to December 31, 1992. The application shall include a concise description of the project, a financial plan, and an operating plan.
 - c. If the eligible grant applicant is not the intended operating agency, then the eligible grant applicant must specify the agency and submit assurances from the agency that it will operate and maintain the project once it is completed.
16. All project applications for non-urban county projects shall be submitted by the eligible grant applicant to the Commission, as well as the Department of Transportation, transportation planning agencies, transportation commissions, affected transit districts, and affected cities, counties and agencies for review and comment.
 - a. The eligible grant applicant shall respond to comments as a part of its total project application and annual request for funds and submit its responses to the commenting agency and to the Commission.

**Clean Air and Transportation Improvement Act
Non-Urban County Transit Projects
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- b. Where multiple funding sources are involved and approval must be given by the appropriate Transportation Planning Agency (TPA) on the non-CATIA funds, then the TPA shall, within two months of the receipt of the total project and annual request for funds, indicate approval or disapproval on that portion of the non-CATIA funding package and submit its response to the Commission. This policy does not relieve the eligible grant applicant from complying with other State statutes that mandate project review and approval.
- 17. The Commission shall accept all project applications on an application cycle to be determined by the Commission.
- 18. The Commission shall establish a competitive grant program and shall accept applications for the remaining funds not applied for by eligible grant applicants on a cycle to be determined by the Commission based on guidelines adopted by the Commission.
- 19. An eligible grant applicant may transfer its status, including all rights to specified funds and all responsibilities for implementing the project, to another local agency that agrees to accept the rights and responsibilities to deliver the project. This transfer of status must be approved by the California Transportation Commission, the eligible grant applicant and the local agency.
- 20. Two or more eligible grant applicant agencies may join in applying for a grant for a project in which each of the agencies will participate.
- 21. Pursuant to Sections 99625, 99626 and 99639, Humboldt County Association of Governments, Mendocino Council of Governments, and the County of Marin and County of Sonoma may, under certain circumstances, expend funds provided to their respective counties under CATIA for the purposes of specified in Section 99628. In the event these counties choose to expend their funds pursuant to section 99628, the guidelines and application procedures established herein shall apply.
- 22. The Commission shall amend all approved CATIA projects by resolution on an ongoing basis into the current State Transportation Improvement Program.
- 23. Funds may not be allocated for street or highway improvements, operations, maintenance, or construction.

FINANCIAL/FUNDING POLICIES

- 24. The Commission intends to adopt financial guidelines for the transfer and expenditure of funds that are consistent with Section 164.4 of the Streets and Highways Code.
- 25. The Commission intends to allocate CATIA funds in a manner that minimizes state debt service on the bond issues.
 - a. The Commission's approval of a project application will delineate the state's share of the total project cost.

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Policies

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- b. Commission approval alone of a project application does not constitute authorization for an applicant agency to begin incurring capital or project support costs. Applicant agency project expenditures for capital costs or project support costs (contractual obligations and expenditures) including, but not limited to, environmental studies, preliminary engineering & design, right of way acquisition, project construction, transit vehicle acquisition and equipment purchase, shall not begin until a contract in the form of a fund transfer or cooperative agreement with the Department is executed. In no event shall any reimbursement of local agency costs be authorized unless and until a Commission allocation of dollars is approved. The Commission will allocate funds to an approved project consistent with the Commission's adopted guidelines for local agency reimbursement.
 - c. In Resolution G-95-05 adopted on May 3, 1995, the Commission delegated to Caltrans limited authority to make local grant allocations for project development work as defined in the Commission's Financial Guidelines adopted on June 20, 1991. Caltrans will enter into an Agreement with the Agency if an allocation for project development work is approved.
 - d. Grant applicants incurring costs or contractual obligations for costs on an approved Non-Urban County Transit project prior to executing a contractual agreement with the Department, do so acknowledging that those are not allowable project costs for reimbursement or cost matching purposes.
26. The Commission will, as appropriate, use its Five-Point Strategy for Program Delivery Reform (#G-90-21), Cost Monitoring Policy (#G-90-11), and Timely Use of Funds Policy (#G-88-6) to ensure that the eligible grant applicant shall provide a project and services in a timely and cost effective manner. If the project is delayed, the eligible grant applicant shall describe the causes of the cost increases, detail measures to be taken to fund the increases, and describe cost control measures on future project costs (see attachments to non-urban county, rail, bicycle guidelines).
27. Funds made available pursuant to section 99628 and 99639 may be pooled by an eligible grant applicant in contiguous counties and used with private funds to acquire existing railroad right-of-way for passenger and freight rail projects, or for other rail projects.
28. CATIA funds are not subject to the South/North split and county minimums except where applicable under Sections 188.0 and 188.8 of the Streets and Highways Code.
29. CATIA funds may be eligible to enhance a completed project if a cost savings exists pursuant to the Commission's Cost Saving Policy (G-90-9).
30. The Commission shall require that the eligible grant applicants/ operating agencies demonstrate they have the financial capacity to construct, maintain, and operate the project services, as well as the financial and institutional ability to accept the legal liabilities and obligations.

**Clean Air and Transportation Improvement Act
Non-Urban County Transit Projects
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31. Project cost shall be based on the first total project application submitted and approved by the Commission. Modifications may be made to the original total project application as necessary, subject to approval by both the eligible grant applicant and the Commission and executed amendments to the fund transfer agreement or cooperative agreement with the Department.
32. If projects exceed the total cost proposed by the eligible grant applicant, then the eligible grant applicant shall cover the cost increases with local, federal or private funds.
33. If Federal, Local, Private or other funding is available for a project, then the CATIA funds used for the project shall be expended with the federal, local, private or other funding sources during the implementation of the project. The intent of the Commission is to allocate funds throughout all the project elements to ensure that reasonable progress and project implementation occurs.
34. The project must have the appropriate environmental clearance prior to an allocation of design or construction funds. Preliminary engineering and environmental studies do not require environmental clearances in advance.

PROJECT POLICIES

35. The Commission will allow the use of up to 5% of the total grant allocation for preconstruction work such as preliminary engineering and environmental work, but not for feasibility or planning studies.
36. The Commission shall accept applications from the eligible grant applicants listed in CATIA Sections 99625, 99626, 99628, and 99639, as applicable.
37. The eligible grant applicant designated in CATIA shall submit a joint application with the operating agency (see Policy 14c).
38. The Commission will fund and allocate monies only for those activities which it considers to be eligible based upon the activities defined in the Act and the application guidelines.

JUSTIFICATION POLICY

39. An eligible grant applicant may request the Commission, during its complete project application, to waive a specific policy or policies in the policy guidelines. The eligible grant applicant shall justify the waiver by responding in full to comments and requests for data and information from the Commission, the Department of Transportation, transportation planning agencies, transportation commissions, affected transit districts, and affected cities, counties and agencies.

The affected agencies shall submit their comments to the appropriate TPA to assemble the comments and responses for submittal to the Commission for consideration and action (see Policy 15). The Commission will consider the applicant's justification request, comments submitted by affected agencies via the TPA and other information received from interested parties. The Commission will make a formal finding by resolution, to either deny or grant a partial waiver or waive the policy or policies in policy guidelines for that annual cycle of full project applications. Future submittals are not exempt from the Commission's policies without a resubmittal of a justification waiver request and approval of this resubmittal by the Commission.

Clean Air and Transportation Improvement Act
Non-Urban County Transit Projects
Policies

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DEFINITIONS:

40. Non-Urban County Projects Mean: (see Section 99628).
- a. Railroad grade crossing improvements, acquisition of railroad rights-of-way for rail transportation purposes, rail passenger or other rail stations, railroad soundwalls, and other local rail improvements for safety.
 - b. Purchase of paratransit vehicles may include but are not limited to modified minivans, eight-to-fifteen passenger vans, sixteen-to-twenty-four-passenger paratransit buses, and communication and ancillary equipment. All vehicles purchased must be accessible to handicapped individuals. Purchase of vehicles that use alternative fuels should be considered, (see policy 8A).
 - c. Capital facilities for accessible public transportation, including all capital expenditures needed for support and efficient operation of public transit, include but are not limited to: bus terminals, transit vehicles, transfer facilities, maintenance facilities, shelters, bus stop improvements, "Park and Bus" lots (park and ride lots associated with transit transfer), communication and ancillary equipment. Bicycle storage facilities are eligible when part of a bus terminal, transfer facility or bus stop improvement, and bike racks are allowable as a part of a transit bus procurement.
 - d. Bicycle projects are eligible and include capital outlay for bicycle improvement projects which improve safety and convenience for bicycle commuters, (CATIA Section 99650).
 - e. Pedestrian improvement projects may be eligible where such facilities are necessary to facilitate pedestrian commuter travel. Eligible projects shall include pedestrian improvements (1) on a "Suggested Route to School" (See Chapter 10, Caltrans Traffic Manual), or (2) in support of public transit use. Projects in support of public transit use shall lie within one-quarter mile of a transit route to be eligible (see Policy 8d).
41. "Bicycle Commuter" is defined as a bicyclist making a trip for transportation purposes such as travel to work, to school, shopping or other activity center, rather than for exercise or recreational purposes.
42. "Pedestrian Commuter" is defined as a pedestrian making a trip for transportation purposes such as travel to work, to school, shopping or other activity center, rather than for exercise or recreational purposes (see Policy 40e).

**STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION**

ADVANCE EXPENDITURE OF LOCAL FUNDS

This Agreement, entered into on (Date) _____ 199_, is between _____, a Non-Urban County Agency and a public entity, hereinafter referred to as **AGENCY**, and the State of California, acting by and through its Business, Transportation and Housing Agency, Department of Transportation, hereinafter referred to as **STATE**.

1. On _____ 199_, AGENCY received PROJECT approval from the California Transportation Commission (CTC) to expend capital or project development funds for the (name of project) PROJECT as defined in the Scope of Work contained in said PROJECT application, which application and Scope of Work are made an express part of this Agreement by this reference.
2. AGENCY is authorized to commence the PROJECT development or capital costs in conformance with the Scope of Work and the CTC's Financial Guidelines for Local Agency Reimbursement dated 6/20/91. AGENCY compliance with the terms of the Agreement is a condition precedent to preserving the eligibility of these authorized AGENCY expenditures as a credit for future STATE reimbursement pursuant to an execution of PROJECT Fund Transfer Agreement (FTA) allocating CTC funds.
3. This Agreement shall serve as STATE's funding commitment and authorization for the AGENCY to begin incurring PROJECT costs of up to \$_____ of local funds towards completion of the PROJECT.
4. The date of this executed Agreement will be the earliest effective date that the local expenditures will be credited to the PROJECT work.
5. Upon execution of a Fund Transfer Agreement with STATE allocating STATE funds for the balance of PROJECT work, this initial Agreement will be terminated and the applicable obligations of the parties assumed under the provisions of the Agreement shall be incorporated into and made a part of that Fund Transfer Agreement to ensure continued eligibility of these approved PROJECT local expenditures.
6. In no event shall any STATE reimbursement for any PROJECT costs be authorized until a CTC allocation for PROJECT costs has been approved, and a PROJECT Fund Transfer Agreement is executed.

STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION

LOCAL AGENCY

BY _____
Name:
Mass Transportation Program Manager

BY _____
Name:
Title:

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POLICIES FOR THE
CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECTS
Resolution No. G-91-6

*amended
by 6-95-22
11/29/95*

GENERAL POLICIES

1. The Commission, as the designated policy body in the Clean Air and Transportation Improvement Act (CATIA) of 1990, will implement the CATIA in a timely, cost effective, and efficient manner.
2. The Commission shall, to the extent feasible, integrate the CATIA process with the State Transportation Improvement Program (STIP) and Transit Capital Improvement (TCI) program process to minimize multiple application cycles and duplicate applications, while not delaying any CATIA projects proposed for funding.
3. The Commission will award grants as specified in the CATIA and ensure that the CATIA is implemented over the term of the ACT from 1990 to 2010.
4. The Commission prefers to implement this grant program so as to assure that use of CATIA funds will implement the non-urban county program no later than the year 2000. General Policy "per capita based on 1990 Federal Decennial Census".
5. The Commission will seek to maximize the use of funds in the CATIA and other funding sources to provide for the non-urban county program.
6. The Commission shall allocate funds on a per capita basis, based on the 1990 Federal Decennial Census.
7. The Commission will only accept eligible grant applications for non-urban county projects as defined or identified in the CATIA (see Policy 38).
- 8a. The Commission shall require that all non-urban county project equipment and facilities be fully accessible to older persons, persons with disabilities including wheelchair users, and be reasonably accessible to bicycles.
- 8b. The Commission shall further require that grants for the establishment of separate bicycle paths and ways be awarded only if the California Department of Transportation determines that the route will be principally used by bicycle commuters.
- 8c. "Bicycle Commuter" is defined as a bicyclist making a trip for transportation purposes such as travel to work, to school, shopping or other activity center, rather than for exercise or recreational purposes.
- 8d. "Pedestrian Commuter" is defined as a pedestrian making a trip for transportation purposes such as travel to work, to school, shopping or other activity center, rather than for exercise or recreational purposes (see Policy 40e).
9. The Commission shall require the eligible grant applicants and the implementing agencies to demonstrate that the non-urban county projects do not duplicate existing service and facilities and are coordinated with other transit services.

10. The Commission shall review annually, and as necessary, amend the CATIA policy guidelines, application guidelines, and financial guidelines to ensure that the program reflects current statutes, as well as Commission policies and programs.
11. The Commission shall not permit Passenger Rail and Clean Air Bond Act funds, based on state law, Chapter 1599, 1990, (SB 2592, Kopp), or other state funds to be matched with CATIA funds.
12. The Commission intends that if CATIA bond issues are not sold as anticipated, the amount available to each eligible grant applicant during that time period will be reduced proportionately for that bond issue as allowed by CATIA Section 99604.
13. The Commission may if it has not received applications by December 31, 1992, for all of the funds available for allocation pursuant to section 99628, reallocate the remaining funds on the basis of a competitive grant program to the counties specified in subdivision (a) of Section 99628.

PROGRAM POLICIES

14. All eligible grant applicants shall be encouraged to coordinate and work closely with the Commission (through its staff or consultant) and affected agencies during the early preparation stage of the eligible grant application prior to submittal. Advance review by the Commission and the affected agencies is intended to assure timely review of the grant application submittal.
15. All eligible grant applications for non-urban county projects shall be submitted by December 31, 1992 in conformance with the following:
 - a. A total project application must be submitted for annual element projects. The application shall include a complete description of the project, a financial plan, an operating plan and a cash flow expenditure plan over the life of the project.
 - b. An application must also be submitted for each proposed project beyond the first year prior to December 31, 1992. The application shall include a concise description of the project, a financial plan, and an operating plan.
 - c. If the eligible grant applicant is not the intended operating agency, then the eligible grant applicant must specify the agency and submit assurances from the agency that it will operate and maintain the project once it is completed (see Policy 35).
16. All project applications for non-urban county projects shall be submitted by the eligible grant applicant to the Commission, as well as the Department of Transportation, transportation planning agencies, transportation commissions, affected transit districts, and affected cities, counties and agencies for review and comment.
 - a. The eligible grant applicant shall respond to comments as a part of its total project application and annual request for funds and submit its responses to the commenting agency and to the Commission.

- b. Where multiple funding sources are involved and approval must be given by the appropriate Transportation Planning Agency (TPA) on the non-CATIA funds, then the TPA shall within two months of the receipt of the total project and annual request for funds indicate approval or disapproval on that portion of the non-CATIA funding package and submit its response to the Commission. This policy does not relieve the eligible grant applicant from complying with other State statutes that mandate project review and approval.
- 17. The Commission shall accept all project applications on an application cycle to be determined by the Commission.
- 18. The Commission shall establish a competitive grant program and shall accept applications for the remaining funds, not applied for by eligible grant applicants on a cycle to be determined by the Commission based on guidelines adopted by the Commission.
- 19. An eligible grant applicant may transfer its status, including all rights to specified funds and all responsibilities for implementing the project, to another local agency that agrees to accept the rights and responsibilities to deliver the project. This transfer of status must be approved by the California Transportation Commission, the eligible grant applicant and the local agency.
- 20. Two or more eligible grant applicant agencies may join in applying for a grant for a project in which each of the agencies will participate.
- 21. Pursuant to Sections 99625, 99626 and 99639, Humboldt County Association of Governments, Mendocino Council of Governments, and the County of Marin and County of Sonoma may, under certain circumstances, expend funds provided to their respective counties under CATIA for the purposes of specified in Section 99628. In the event these counties choose to expend their funds pursuant to section 99628, the guidelines and application procedures established herein shall apply.
- 22. The Commission shall amend all approved CATIA projects by resolution on an ongoing basis into the current State Transportation Improvement Program.
- 23. Funds may not be allocated for street or highway improvements, operations, maintenance, or construction.

FINANCIAL/FUNDING POLICIES

- 24. The Commission intends to adopt the financial guidelines for the transfer and expenditure of funds that are consistent to Section 164.4 of the Streets and Highways Code.
- 25. The Commission intends to allocate CATIA funds in a manner that minimizes the state debt service on the bond issues.
 - a. The Commission will allocate funds only on an as needed reimbursement basis. The Commission's approval of a project application will delineate the state's share of the total project cost and for the eligible grant applicant's purpose shall serve as a verification letter of the state's funding commitment and as authorization for the eligible grant applicant to begin incurring costs to complete the project. Reimbursement of any costs incurred for an approved project is subject to the Commissions adopted guidelines for local agency reimbursement.

26. The Commission will, as appropriate, use its Five-Point Strategy for Program Delivery Reform (#G-90-21), Cost Monitoring Policy (#G-90-11), and Timely Use of Funds Policy (#G-88-6) to ensure that the eligible grant applicant shall provide a project and services in a timely and cost effective manner. If the project is delayed, the eligible grant applicant shall describe the causes of the cost increases, and detail measures to fund the increases, and cost control measures on future project costs (see attachments to non-urban county, rail, bicycle guidelines).
27. Funds made available pursuant to section 99628 and 99639 may be pooled by eligible grant applicant in contiguous counties and used with private funds to acquire existing railroad right-of-way for passenger and freight rail projects, or for other rail projects.
28. CATIA funds are not subject to the South/North split and county minimums except where applicable under Sections 188.0 and 188.8 of the Streets and Highways Code.
29. CATIA funds may be used to enhance a completed project if a cost savings exists pursuant to the Commission's Cost Saving Policy (#G-90-9).
30. The Commission shall require that the eligible grant applicants/operating agencies demonstrate they have the financial capacity to construct, maintain, and operate the project services, as well as the financial and institutional ability to accept the legal liabilities and obligations.
31. Project cost shall be based on the first total project application submitted and approved by the Commission. Modifications may be made to the original total project application as necessary, subject to approval by both the eligible grant applicant and the Commission.
32. If projects exceed the cost proposed by the eligible grant applicant, then the eligible grant applicant shall cover the cost increases with local, federal or private funds.
33. If Federal, Local, Private or other funding is available for a project, then the CATIA funds used for the project shall be expended with the federal, local, private or other funding sources during the implementation of the project. The intent of the Commission is to allocate funds throughout all the project elements to ensure that reasonable progress and project implementation occurs.
34. The project must have the appropriate environmental clearance prior to an allocation of funds. Preliminary engineering and environmental studies do not require environmental clearances in advance.

PROJECT POLICIES

35. The Commission will allow up to 5% of the grant allocation for preconstruction work such as preliminary engineering and environmental work, but not feasibility or planning studies.
36. The Commission shall accept applications from the eligible grant applicants listed in the CATIA Sections 99625, 99626, 99628, and 99639, as applicable.
37. The eligible grant applicant designated in the CATIA shall submit a joint application with the operating agency (see Policy 14c).
38. The Commission will fund and allocate monies only for those activities which it considers to be eligible based upon the activities defined in the Act and the application guidelines.

JUSTIFICATION POLICY

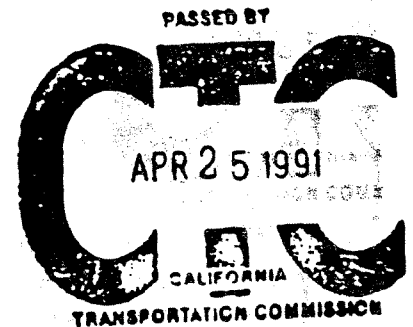
39. An eligible grant applicant may request the Commission, during its complete project application, to waive a specific policy or policies in the policy guidelines. The eligible grant applicant shall justify the waiver by responding in full to comments and requests for data and information from the Commission, the Department of Transportation, transportation planning agencies, transportation commissions, affected transit districts, and affected cities, counties and agencies.

The affected agencies shall submit their comments to the appropriate TPA to assemble the comments and responses for submittal to the Commission for consideration and action (see Policy 15). The Commission will consider the applicant's justification request, comments submitted by affected agencies via the TPA and other information received from interested parties. The Commission will make a formal finding by resolution, to either deny or grant a partial waiver or waive the policy or policies in the policy guidelines for that annual cycle of full project applications. Future submittals are not exempt from the Commission's policies without a resubmittal of a justification waiver request and approval of this resubmittal by the Commission.

DEFINITION:

40. Non-Urban County Projects Mean: (see Section 99628).
 - a. Railroad grade crossing improvements, acquisition of railroad rights-of-way for rail transportation purposes, rail passenger or other rail stations, railroad soundwalls, and other local rail improvements for safety.
 - b. Purchase of paratransit vehicles may include but are not limited to modified minivans, eight-to-fifteen passenger vans, sixteen-to-twenty-four-passenger paratransit buses, and communication and ancillary equipment. All vehicles purchased must be accessible to handicapped individuals. Purchase of vehicles that use alternative fuels should be considered, (see policy 7A).

- c. Capital facilities for accessible public transportation, including all capital expenditures needed for support and efficient operation of public transit, including but not limited to: bus terminals, transit vehicles, transfer facilities, maintenance facilities, shelters, bus stop improvements, "Park and Bus" lots (park and ride lots associated with transit transfer), communication and ancillary equipment. Bicycle storage facilities are eligible when part of a bus terminal, transfer facility or bus stop improvement, and bike racks are allowable as a part of a transit bus procurement.
- d. Bicycle projects are eligible and include capital outlay for bicycle improvement projects which improve safety and convenience for bicycle commuters, (CATIA Section 99650).
- e. Pedestrian improvement projects may be eligible where such facilities are necessary to facilitate pedestrian commuter travel. Eligible projects shall include pedestrian improvements (1) on a "Suggested Route to School" (See Chapter 10, Caltrans Traffic Manual), or (2) in support of public transit use. Projects in support of public transit use shall lie within one-quarter mile of a transit route to be eligible (see Policy 8d).



CALIFORNIA TRANSPORTATION COMMISSION
COMMISSION POLICY FOR PROPORTIONATE ALLOCATION
OF RAIL BOND FUNDS
RESOLUTION # G-91-10

WHEREAS, the passage of Propositions 108 and 116 by the electorate has authorized the State to issue \$1 billion and \$1.99 billion respectively in rail bonds; and

WHEREAS, Proposition 116 rail monies are continuously appropriated to the Commission, without regard to fiscal years, for grant allocation; and

WHEREAS, the available rail bond proceeds are set annually through the State Budget process; and

WHEREAS, the available rail bond proceeds may be limited by the State Budget process or by conditions in the financial bond markets, and demand for the proceeds by the regional agencies and transit operators may exceed the available rail bond proceeds; and

NOW THEREFORE BE IT RESOLVED that the Commission shall allocate rail bond proceeds in a proportionate manner based upon the available rail bond proceeds in the State Budget, following its enactment and approval, divided by the anticipated demand from eligible projects in that fiscal year; and

BE IT FURTHER RESOLVED that the Commission shall not allocate rail bond proceeds that have not been voted upon by the electorate or the Legislature; and

BE IT FURTHER RESOLVED that the Commission also shall take into account other factors in making its proportionate allocation of rail bond proceeds and shall change the amount allocated based upon the following factors, including but not limited to:

- Statewide priorities;
- The formation of a reserve annually, after considering recommendations from the Department of Transportation, regional agencies, transit operators and affected agencies, from the available bond proceeds for new bond projects that may be started during the year, Proposition 116 applications that are anticipated, but not yet submitted or approved or other projects which have not been reported to the Commission;

- Competing demands on available rail bond proceeds for rail right-of-way acquisition versus construction and rolling stock, where appropriate providing for reimbursement with State funds of local expenditures for rail right-of-way acquisition in phases over time;
- Using the annual rail bond proceeds available to provide rail transit service immediately (within the State Budget's fiscal year);
- The provision of a minimum usable rail transit segment or service;
- The commitment of local, private, and federal funds;
- The most effective use of the funds available from all State and other sources in providing usable rail transit service by 2000; and

BE IT FURTHER RESOLVED that the Commission shall maintain flexibility in allocating Propositions 108 and 116 rail bond proceeds and shall not set a specific allocation percentage between rail bond proceeds from the two propositions,

BE IT FURTHER RESOLVED that in order for a rail transit project to be eligible for rail bond proceeds, it must:

- Be programmed or amended in the adopted State Transportation Improvement Program; or
- Have a Commission-approved Proposition 116 project application;

BE IT FURTHER RESOLVED that an eligible project must have:

- Project approval from the Commission as described in the Commission's policy #G-91-9 for "Allocation Of Bond Funds To Projects"; and
- The additional project information required in the guidelines for the Commuter and Urban Rail Transit program, the Intercity Rail program, and the Proposition 116 Rail program;
- A current cash flow expenditure plan showing (1) cash flow needs on a quarterly reimbursement basis for at least the first two years, and (2) expenditures from other fund sources;
- A full funding plan identifying all funding sources, the degree of funding commitment and availability, financial contingencies should any funds not be available, and a project description;
- A completed SB 580 review prior to allocation; and
- Completed all necessary administrative requirements required by statutes to be eligible for an allocation as recommended by the Department to the Commission;

BE IT FURTHER RESOLVED, that if proportionate allocation funding requires an eligible applicant to consolidate the rail bond proceeds on a specific project or projects, in order to provide useable rail transit service or a useable capital improvement, the Commission must approve the consolidations prior to an allocation; and

BE IT FURTHER RESOLVED that the Commission may exempt studies and minor projects (less than \$ 500,000 for the State's share), providing the minor project is not a component of a larger rail transit capital project or rail right-of-way acquisition, from proportionate sharing and allocate the full amount necessary to complete the eligible activity or project; and

BE IT FURTHER RESOLVED that the Commission may defer an allocation, if the cash expenditure plan is optimistic and funds cannot be expended in a timely manner; and

BE IT FURTHER RESOLVED that the Department shall monitor the eligible projects that have received an allocation, at a minimum on a quarterly basis, and shall inform the Commission of the eligible projects' progress toward implementation and the timely use of the rail bond proceeds.

129:ARC2

2. CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT

APPLICATION GUIDELINES

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**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECT APPLICATION GUIDELINES**

I. PURPOSE AND AUTHORITY

The Clean Air and Transportation Improvement Act (CATIA) makes available \$73 million in bond funds to fund a program of grants to eligible grant applicants for railroad grade crossing improvements, acquisition of railroad rights-of-way for rail transportation purposes, rail passenger improvements for safety; purchase of paratransit vehicles; and other capital facilities for public transportation. Pursuant to sections 99625, 99626, 99628, and 99639, as applicable, eligible grant applicants must submit an application that meets the requirements described within the Non-urban County Program Policy Guidelines and Application Guidelines, as well as requirements for a financial plan, an operations plan, and a cash expenditure plan for the annual application of funds and total funding package.

These guidelines are intended to assist in the submission of applications for Non-urban County projects under CATIA. Applications will be evaluated with respect to contributions made to the total regional transportation system.

The guidelines implement the CATIA Program in accordance with the basic program requirements established in Sections 99660 et seq. of the Public Utilities Code, as added by Proposition 116 (June 1990). Section 99660(a) requires that program guidelines be adopted by the California Transportation Commission.

II. ELIGIBLE GRANT APPLICANTS

Eligible grant applicants are Transportation Planning Agencies having jurisdiction in the counties of: Alpine, Amador, Butte, Calaveras, Colusa, Del Norte, El Dorado, Glenn, Imperial, Inyo, Lake, Lassen, Mariposa, Modoc, Mono, Napa, Nevada, Plumas, San Benito, San Luis Obispo, Shasta, Sierra, Siskiyou, Sutter, Tehama, Trinity, Tuolumne, and Yuba. An eligible grant applicant may transfer its status, including all rights to specified funds and all responsibilities for implementing the project, to another local agency that agrees to accept the rights and responsibilities to deliver the project. This transfer of status may be requested as part of the project application and must be approved by the California Transportation Commission, the eligible grant applicant and the local agency.

Eligible grant applicants as applicable, from the funding specified for their jurisdictions include Humboldt, Mendocino, Marin, and Sonoma counties under sections 99625, 99626, 99639 respectively. In the event these counties choose to expend their funds pursuant to Section 99628, the guidelines and application procedures established herein shall apply.

Eligible projects include:

RAIL PROJECT APPLICATIONS AND GUIDELINES MUST BE USED FOR PROJECTS IDENTIFIED IN SECTION III.A BELOW.

BICYCLE PROJECT APPLICATIONS AND GUIDELINES MUST BE USED FOR BICYCLE PROJECTS IDENTIFIED IN III.D, BELOW.

NON-URBAN COUNTY TRANSIT PROJECT APPLICATION AND GUIDELINES MUST BE USED FOR PROJECTS IDENTIFIED IN SECTIONS III.B AND III.C BELOW.

- A. Railroad grade crossing improvements, acquisition of railroad rights-of-way for rail transportation purposes, rail passenger or other rail stations, railroad soundwalls, and other local rail improvements for safety.
- B. Purchase of paratransit vehicles may include but are not limited to modified minivans, eight-to-fifteen passenger vans, sixteen-to-twenty-four-passenger paratransit buses, and communication and ancillary equipment. All vehicles purchased must be accessible to handicapped individuals. Purchase of vehicles that use alternative fuels should be considered.
- C. Capital facilities for accessible public transportation, including all capital expenditures needed for support and efficient operation of public transit, including but not limited to: bus terminals, transit vehicles, transfer facilities, maintenance facilities, shelters, but stop improvements, "Park and Bus" lots (park and ride lots associated with transit transfer), communication and ancillary equipment. Bicycle storage facilities are eligible when part of a bus terminal, transfer facility or bus stop improvement, and bike racks are allowable as a part of a transit bus procurement.
- D. Bicycle projects are eligible and include capital outlay for bicycle improvement projects which improve and safety and convenience for bicycle commuters. (CATIA Section 99650).
- E. Pedestrian improvement projects may be eligible where such facilities are necessary to facilitate pedestrian commuter travel. Eligible projects shall include pedestrian improvements (1) on a "Suggested Route to School" (see Chapter 10, Caltrans Traffic Manual), or (2) in support of public transit use. Projects in support of public transit use shall lie within one-quarter mile of a transit route to be eligible.

Projects in this program should provide safe, reliable, and efficient transit services in the state, and produce improved, cost effective transportation service without being spent on needlessly costly features. All facilities and vehicles shall be accessible to persons with physical disabilities, including wheelchair users at all terminals whether or not staffed. All passenger vehicles shall, when possible, provide reasonable access to bicycles and all passenger facilities shall provide convenient and secure bicycle parking facilities (Section 99628).

IV. ELIGIBLE ACTIVITIES

Eligible reimbursable activities for Non-urban County projects may include, but are not limited to, alternatives analysis, environmental studies, direct project administration and management, engineering (plans, specifications and estimates), construction, right-of-way purchase, or acquisition and installation of equipment.

Project costs, except as permitted under Chapter 993, 1990 (SB 2800, Presley), incurred prior to Commission's approval of the project application are not eligible for reimbursement and the scope of the project may not be significantly altered after programming and before the allocation is made without the express written consent of the Commission.

Funds may not be allocated for street or highway improvements, operations, maintenance, or construction.

V. FINANCIAL REQUIREMENTS

- A. Each application must supply all data required for evaluation and shall be accompanied by a plan describing how the grant funds will be used, what other funds are available for the project and how those funds will be used.

The plan must include a plan for operating any new service, including a financial plan for operation.

The plan must also identify the sources and/or availability of the remainder of the funds required for the operation of any new service.

The plan must include a cash expenditure plan which identifies the cash flow necessary for the implementation/completion of the project.

- B: Allocation of Funds

The Commission will allocate funds to a project after evaluation and approval of the application. The project must have the appropriate environmental clearance prior to an allocation of funds.

VI. PROJECT EVALUATION

- A. Eligible projects from eligible grant applicants that receive State funds must meet the applicable statutory requirements, including appropriate environmental clearance pursuant to the California Environmental Quality Act. The Commission will use the following criteria when evaluating projects. A project must meet these criteria in order to be funded.
1. Statutory Eligibility - The applicant is eligible for CATIA funds, pursuant to Sections 99625, 99626, 99628, and 99639, as applicable, in the Clean Air and Transportation Improvement Act of 1990.
 2. Transportation Planning Agency - The transportation planning agency has approved the project and the project fund application.
 3. Financial Capacity - The applicant has the financial capacity to start-up, operate and maintain the project.

4. Timely Use of Funds - The implementing agency must demonstrate that it can expend the state bond proceeds approved for that agency for reimbursement of eligible capital costs within 24 months of the close of the bond sale. Similarly, the implementing agency must demonstrate that it can expend the state bond proceeds approved for that agency for reimbursement of eligible right-of-way acquisition costs within six months of the close of bond sale.
5. Accessibility - The project/service is fully accessible to persons in wheelchairs and reasonably so for bicycle access or the applicant has a plan to make its services and facilities accessible to persons in wheelchairs and to bicycles.
6. Plans - The project/service is a part of or consistent with an adopted local general plan, circulation element, transit development plan, or regional plan.
7. Fund Displacement - Applicants shall certify that CATIA funds allocated will not supplant funds previously planned, programmed or approved for the purpose for which the CATIA funds are awarded.

B. Evaluation Criteria

The applicant shall demonstrate that the project will provide for one or more of the following:

1. Extensions/expansions of previously approved projects
2. Service improvements through: rider convenience, decreased automobile use, system reliability, intermodal transportation convenience, increased mobility for transit dependent/disadvantaged, service coordination, improved air quality, etc.
3. Project cost efficiency by: reduced cost per passenger mile on operating hour, heightened reliability or productivity using existing or new equipment, percentage of local federal and private match, cost savings or farebox recovery, extent operating funds are available, service flexibility.
4. Provisions that facilitate bicycle/transit trips.
5. Cost effectiveness of the project compared to similar ones constructed in the state in comparable rural areas.
6. Increased safety will result from the project.
7. Documents demonstrating local support for the project.
8. Degree that the project will serve utilitarian transportation uses such as trips to work, to school, shopping and other activity centers.

VII. APPLICATION PROCESS

Applicants are required to submit a full application for all projects including those beyond the first year. The Department of Transportation will review and the Commission will approve the annual elements of a multi-year/multi-phase project. In addition, the Department will review each proposed project beyond the first year when an allocation request is submitted.

Applicants shall submit applications for all projects including each proposed project beyond the first year to the Department of Transportation and the Commission, prior to December 31, 1992.

Commission sets the annual element fund level for CATIA funding under Section 99628, Non-urban County Program.

VIII. COMPETITIVE GRANT APPLICATION PROCESS FOR FUNDS AFTER DECEMBER 31, 1992

If the bond funds provided for in Section 99628 are not applied for by eligible grant applicants, those funds may be made available on a competitive basis to all eligible grant applicants specified in Section 99628. The Commission shall, with the addition of project readiness, use the evaluation and application process provided for in Section VI of these application guidelines for the qualifying non-urban county projects identified in Section III.

**3. CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN PROJECT APPLICATION**

STATE OF CALIFORNIA
CALIFORNIA TRANSPORTATION COMMISSION
CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
APPLICATION FOR NON-URBAN COUNTY TRANSIT PROJECT

Part 1. Title and Certification

- a. 1. Transportation Planning Agency: _____
2. Address: _____

3. Contact Person: _____ Phone: _____
- b. Is the Transportation Planning Agency the Applicant Agency?
☐ YES ☐ NO
- If NO, has the CTC approved a transfer of applicant status or is the request for transfer a part of this application? Please attach CTC approval of transfer or request for transfer and a Resolution requesting the transfer by eligible applicant and a Resolution of acceptance by the local agency? (Please complete Sections c & d below if applicable)
- c. 1. Applicant Agency: _____
2. Address: _____

3. Contact Person: _____ Phone: _____
- d. 1. Co-Applicant Agency: _____
2. Address: _____

3. Contact Person: _____ Phone: _____
- e. Project Title: _____
- f. Project Location (County, City or Cities): _____
(cross Streets/Address): _____
- g. Amount of Funds Requested: _____
- h. Funds requested from PUC Section: _____
- i. This Application is for funding the following project:
(check appropriate box)
1. **Paratransit Vehicles:** (Accessible to Handicapped, including necessary communication and ancillary equipment.)
☐ Minivans
☐ Eight to Fifteen Passenger Vans
☐ Sixteen to Twenty-Four Passenger Buses

**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
APPLICATION FOR NON-URBAN COUNTY TRANSIT PROJECT**

2. Capital Facilities:

- ☐ Bus Terminal
- ☐ Transit Vehicles
- ☐ Transfer Facility
- ☐ Maintenance Facility
- ☐ Bus Shelters
- ☐ Bus Stop(s) Improvements
- ☐ Park and Bus Lots
- ☐ Communication and Ancillary Equipment
- ☐ Bicycle Racks- (When part of a Transit Vehicle Procurement)
- ☐ Bicycle Storage Facility - (When part of a Bus Terminal, Transfer Facility or Bus Stop Improvements)
- ☐ Pedestrian Improvements

3. OTHER

- ☐ Preconstruction Work (See CTC Policy #35)
- ☐ _____

* **CTC - Application for CATIA Rail Projects should be used for all non-urban county rail projects.** Applications and information relating to rail projects may be obtained by contacting the CTC, Rick Vargas, (916) 654-4245.

* **CTC - Application for class I & II Bicycle Facilities Projects (CATIA) should be used for all non-urban county class I & II bicycle facilities projects.** Applications and information relating to bicycle projects may be obtained by contacting the Office of Bicycle Facilities, Rick Blunden, at (916) 653-0036.

j. To the best of my knowledge and belief, the data and information contained in this application is true and correct and I am authorized to file this application on behalf of the applicant.

Name and Title: _____

Signature (in blue ink): _____

Date of Signature: _____

Part 2. Commission Threshold Criteria

a. Is the applicant an eligible claimant for CATIA funds, pursuant to Sections 99625, 99626, 99628, and 99639 as applicable, in the Clean Air and Transportation Improvement Act of 1990?

☐ YES ☐ NO

Please indicate Section _____

b. Has the transportation planning agency approved the project and the project funding application? A copy of the resolution must be attached to the application.

☐ YES ☐ NO

CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
APPLICATION FOR NON-URBAN COUNTY TRANSIT PROJECT

- c. Does the applicant have the financial capacity to start-up, operate and maintain the project?

☐ YES ☐ NO

- d. Can the applicant expend the funds for the proposed project 24 months after approval and allocation in accordance with the Commissions timely use of funds policy (See Section VI, Item 4 of the Non-Urban County Program Application Guidelines)?

☐ YES ☐ NO

- e. Is the project/service fully accessible to persons in wheelchairs and reasonably so for bicycle access or the applicant has a plan to make its services and facilities accessible to persons in wheelchairs and to bicycles?

☐ YES ☐ NO

Please explain _____

- f. Is the project/service consistent with an adopted local general plan, circulation element, transit development plan, or regional plan?

☐ YES ☐ NO

- g. Does the applicant certify that CATIA funds allocated will not supplant funds previously planned, programmed or approved for the purpose for which the CATIA funds were awarded?

☐ YES ☐ NO

- h. 1. Is the proposed project a pedestrian improvement?

☐ YES ☐ NO

If Yes, has the transportation planning agency, by resolution, made a finding that the project will be used principally as a "suggested route to school", (See Chapter 10, Caltrans Traffic Manual), to gain access to transit, or to otherwise displace automobile trips?

☐ YES ☐ NO

CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
APPLICATION FOR NON-URBAN COUNTY TRANSIT PROJECT

Part 3. Description of Project

- a. Briefly describe the project, phase, or project segment for which you are applying for funds.
- b. Is the application for a phase, segment, or a stage of a larger project? ☐ YES ☐ NO
If you answered yes, please briefly describe the overall project.
- c. Depending on the type of project, , attach a 8 1/2" x 11" map of the project site(s) that shows cross street detail, or use the space below to provide a brief overview of the specifications of equipment to be purchased.

CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
APPLICATION FOR NON-URBAN COUNTY TRANSIT PROJECT

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- d. In order for the project to be fully operational, will other projects need to be completed?

☐ YES

☐ NO

If yes, please list each project, estimated cost and proposed completion date.

Project Description

Cost

Completion Date

**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
APPLICATION FOR NON-URBAN COUNTY TRANSIT PROJECT**

- e. Complete the following financial plan showing all sources of funds that will be used to finance this application.

FUND SOURCE	FY 91/92 Current Phase	PERCENT	\$ TOTAL PROJECT	PERCENT
STATE GUIDEWAY (ART. XIX)				
TCI PROGRAM (TP&D)				
FEDERAL				
TDA (LTF&STA)				
RAIL BONDS PROP. 108				
RAIL BONDS PROP. 116				
FLEXIBLE CONGESTION RELIEF				
LOCAL SALES TAX				
LOCAL BONDS				
STATE-LOCAL PARTNERSHIP				
1988 STIP				
PRIVATE				
OTHER				
PROJECTS TOTALS:				

- f. Provide beginning and ending dates for all phases of this project.

Overall Project Schedule

	Begin Work (Month/Year)	Completion (Month/Year)	Cost
Feasibility Study			
Environmental Assessment			
Preliminary Engineering			
Final Design			
Acquisition of Right of Way			
Construction/Rehab./Mgt.			
Vehicle Acquisition			
Date Facility Will Begin Operation			

- g. Provide the information requested on the status of environmental clearance.

Appropriate Environmental Document

Actual or Estimated
Completion Date

Categorical Exemption
Other Exemption (cite)
Notice of Exemption
Negative Declaration
Draft EIR/EIS
Final EIR/EIS Certification of EIR
Notice of Determination

SUPPLEMENTAL INFORMATION MAY BE PROVIDED AS AN ATTACHMENT TO THIS APPLICATION

[illegible]

Cost Category	Prior Years	Current Year Request
VEHICLES		
STATE GUIDEWAY (ART. XIX)		
TCI (TP&D)		
FEDERAL		
TDA (LTF & STA)		
PROPOSITION 108		
PROPOSITION 116		
FLEXIBLE CONGESTION RELIEF		
LOCAL SALES TAX		
LOCAL BONDS		
STATE-LOCAL PARTNERSHIP		
1988 STIP		
PRIVATE		
OTHER		
Sub Total	\$	\$
RIGHT-OF-WAY		
STATE GUIDEWAY (ART. XIX)		
TCI (TP&D)		
FEDERAL		
TDA (LTF & STA)		
PROPOSITION 108		
PROPOSITION 116		
FLEXIBLE CONGESTION RELIEF		
LOCAL SALES TAX		
LOCAL BONDS		
STATE-LOCAL PARTNERSHIP		
1988 STIP		
PRIVATE		
OTHER		
Sub Total	\$	\$

[illegible]

4. CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY APPLICATION
SUPPLEMENTAL INSTRUCTIONS

**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECT
SUPPLEMENTAL INSTRUCTIONS**

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This supplemental information is intended to help clarify the basic requirements of the Non-Urban Project Application. As such, it is organized to match the Non-Urban County Transit Projects Application.

PART 1. TITLE AND CERTIFICATION

- o The eligible applicant (Transportation Planning Agency (TPA)/assigned local agency) and eligible project location must be clearly identified on the application.
- o The type of capital expenditure must be identified.
- o The eligible grant applicant may transfer its status, including all rights to specified funds and all responsibilities for implementing the project, to another local agency that agrees to accept the rights and responsibilities to deliver the project. This transfer of status must be approved by the California Transportation Commission, the eligible grant applicant and the local agency.

PART 2. COMMISSION THRESHOLD CRITERIA

Part 2 requests background information on the project and the applicant. A copy of the Resolution by the TPA approving the project must be included with the application. If you need further clarification please contact the Division of Mass Transportation, Office of State Assistance at (916) 327-7568.

PART 3. DESCRIPTION OF THE PROJECT

A complete description of the project, phase, or segment is important to assist the Commission in understanding the proposed project and to allow them to act expeditiously upon the application. In completing this part of the application your description should be concise yet provide the reader with a good understanding of the scope of the project. The application must include an operating plan. The following questions should be answered, if applicable, in your project description.

- o Does this application include funding for preconstruction work such as engineering and environmental work? The commission will allow up to 5%. If yes, please describe. Commission Policy #35 of the CTC's adopted Non-Urban County Program Policies (G-91-6) allows the applicant to use up to 5% of the grant amount for preconstruction work such as preliminary engineering and environmental work. If the applicant requires a higher amount for these purposes, they must request a waiver of this policy as permitted under Commission Policy #39.
- o Does the proposed project duplicate any existing services? If yes, describe the services and the anticipated changes once the new project begins operating.

**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECT
SUPPLEMENTAL INSTRUCTIONS**

- o Describe current or planned efforts to coordinate the operation of this project with other services and/or projects which are currently in operation or will be in the near future.
- o If your project includes the purchase of transit and/or paratransit vehicle(s) provide information relevant to size, accessibility, ancillary equipment and the life expectancy (years and/or miles).
- o Has the applicant considered using alternative fuel vehicles? Please describe.
- o The project application must contain both a financial plan and a cash flow expenditure plan.
 - Is the cash flow expenditure plan consistent with the financial plan?
 - Are other funds required to complete the project? Are CATIA funds used as matching funds? If so, identify all sources of funds. Provide a resolution from the TPA which indicates that other funds are available and committed to this project.
 - All funds must be programmed, encumbered, obligated or spent no later than July 1, 2000. Funds remaining will become competitive.
 - Are cost control measures in place to monitor costs, assure the timely use of funds and plan the orderly flow of cash?
 - Have inflationary factors been applied for later years in the project? Please indicate the inflation rate used. (4 to 8% for construction, 3.5 to 6% for other components of the budget as suggested in Proposition 116 Rail Project Workshop Manual)
 - The grant applicant/operating agencies must demonstrate they have the financial capacity to construct, maintain, and operate the projects for transit service.
- o Do all passenger vehicles and facilities acquired or constructed provide reasonable access to bicycles? Do the stations constructed provide convenient and secure bicycle parking facilities?
- o Are all passenger vehicles accessible to wheelchair users at all stops, stations and terminals whether or not staffed.
- o Has the the implementing local agency described a plan to eliminate enhancements that are not necessary to basic service.
- o Every expenditure made pursuant to this part shall be made in compliance with the California Environmental Quality Act (Division 13 (commencing with Section 21000) of the Public Resources Code). Provide documentation which demonstrates that the requirements have been met.

CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECT
SUPPLEMENTAL INSTRUCTIONS

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- Identify any environmental mitigation issues which might impact the project schedule.
- Provide information on the status of the environmental clearance for the project.

PART 4. CASHFLOW EXPENDITURE PLAN

The Cashflow Expenditure Plan provides important details related to the expenditure of funds throughout the life of the project. The spreadsheets must show expenditures by type, cross referenced to revenues and fiscal year for each year identified. The time frame and phase of the project, must also be identified.

Please include documentation which details the major items to be purchased under each expenditure heading. For example, under the expenditure heading "vehicles", a breakdown of the quantity, type and unit cost of vehicles to be purchased should be provided.

In addition when completing the Cashflow Expenditure Plan in the application, please provide the following supplemental information:

- o Identify the inflation rate used for capital expenditures.
- o Identify any contingency assumptions in the capital budget.

**5. CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
ALLOCATION REQUEST INSTRUCTIONS AND FORMS**

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STATE OF CALIFORNIA
CALIFORNIA TRANSPORTATION COMMISSION
CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECT ALLOCATION REQUEST

I. PURPOSE AND AUTHORITY

These guidelines are intended to assist in the submission of allocation requests for non-urban projects under the Clean Air and Transportation Improvement Act Program (Proposition 116). Allocation requests must provide detailed information about planned expenditures for a project within a stated time period. Caltrans is the lead agency responsible for reviewing all allocation requests. Cal Trans will forward their recommendation to the California Transportation Commission. The Commission has final authority for approving allocation requests. Allocation of funds by the California Transportation Commission and subsequent execution of a Fund Transfer Agreement by the Transportation Planning Agency (TPA) and Caltrans constitutes an encumbrance of funds and allows the TPA to request reimbursement for qualifying expenditures.

Before an allocation request can be approved by the Commission, the TPA must submit a project application, which must be approved by the Commission. The first allocation request may be submitted at the same time the project application is submitted. The Transportation Planning Agency must also submit the necessary documents to demonstrate that the applicant has the financial and managerial ability to successfully complete the project (see Appendix 8(C) provided as an example. Not all elements will apply to every project). In compliance with this requirement the following information, as applicable, must be submitted prior to the approval of the allocation request by the CTC:

1. Policies, procedures and performance standards of the recipient agency for: management control standards, public hearings, location studies, preliminary engineering investigations, environmental impact studies, relocation assistance, contract provisions, material and equipment listing, plans, specifications and estimates.
2. The overall project financing plan and overall project development schedule.

The above requirements apply to rail projects. The applicant should contact Dan Mundy, Division of Mass Transportation, Office of State Assistance at (916) 327-7568 to determine the specific information necessary for the management and financial review of their project.

Approximately sixty days are necessary for Caltrans to complete the review and schedule the allocation request for the next Commission meeting agenda. The first allocation request may be submitted at the same time the project application is submitted.

**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECT ALLOCATION REQUEST**

II. ALLOCATION REQUEST PREPARATION

Each allocation request must be submitted with a completed Allocation Request Form, including the tables in the Allocation Request Form. The applicant agency must supply all data required for evaluation of the allocation request. Allocations may be submitted at any time. However, the request must be consistent with the cash flow plan in the original application or documentation must be provided which describes the changes and why they have occurred.

Information about eligible expenditures and the various steps of the grant process is available in the Financial Guidelines (see attached) for Local Agency Reimbursement as adopted by the California Transportation Commission in June, 1991.

III. TIMING OF THE REVIEW PROCESS

The Commission will process all allocation requests in a timely fashion. The actual time required to process Allocation Request Forms will depend upon the complexity of the request and the applicant's preparation of the required documents. Applicants should allow a **minimum** of ninety calendar days for the Commission to review and approve an allocation request. If the Allocation Request Form is incomplete or if questions about the request arise, the review process may take more than ninety days.

In addition to project application approval and allocation request approval, the Commission must certify that funds are required and can be spent before the State Treasurer can sell state bonds to provide funds for reimbursement. This certification is usually at the same time an allocation request is approved and does not require any action by the applicant. Time should also be allotted for the State Treasurer to sell the bonds and for bond proceeds to become available for reimbursement.

The State Treasurer is responsible for determining the number and frequency of bond sales during the year. The State Treasurer's Office will not publicize bond sale dates well in advance of the sale and as a result applicants will not be aware of the bond sale schedule. For this reason, it is extremely critical that applicants submit accurate expenditure plans so that cash needs can be clearly identified and bond sales can be structured to accommodate those cash needs on a timely basis.

IV. ALLOCATION REQUEST EVALUATION

Non-Urban projects that receive state funds must meet the applicable statutory requirements including appropriate environmental clearance pursuant to the California Environmental Quality Act. The Commission will use the following criteria when evaluating an allocation request. A project must meet these criteria in order to be funded.

CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECT ALLOCATION REQUEST

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1. Timely Use of Funds. The eligible grant applicant must demonstrate that it can expend the state bond proceeds approved for that agency for reimbursement of eligible capital costs within 24 months of the close of the bond sale. Similarly, the eligible grant applicant must demonstrate that it can expend the state bond proceeds approved for that agency for reimbursement of eligible right-of-way acquisition costs within six months of the close of the bond sale.
2. Proportional Use of Funds. If the project has a mix of several funding sources, state funds must be used proportionally to all other funds throughout the life of the project.
3. Appropriate Expenditures. Proposition 116 funds may only be used for capital construction and related activities. Proposed expenditures will be viewed to ensure that they are appropriate based on the requirements of the Act and Commission Policy.
4. Reasonableness of Assumptions. Planning activities must be completed to establish assumptions about expenditures in each phase. The assumptions for expenditures in each Allocation Request must be documented in the Allocation Request Form and will be reviewed by the Department for reasonableness.
5. Pre-construction Work. The Commission will allow up to five percent of the grant allocation for pre-construction work such as preliminary engineering and environmental work. The Commission will not allow funding of feasibility or planning studies, except where specifically noted in Proposition 116.

V. ALLOCATION REQUEST SUBMISSION

Allocation requests for funds under the Clean Air Transportation Improvement Act for non-urban projects shall be accompanied by a completed Allocation Request Form which is attached.

The original completed Allocation Request Forms should be transmitted to:

Department of Transportation
Division of Mass Transportation
Jay Riley, Chief
Office of State Assistance
P.O. 942874
Sacramento, CA 94274-0001

For questions and additional information please contact:

Dan Mundy
Office of State Assistance
(916) 327-7568

A copy of the completed forms should be transmitted to:

California Transportation Commission
Attn: Rick Vargas, Proposition 116 Program Manager
1120 "N" St., Suite 2225
Sacramento, CA 95814
(916) 654-4245

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STATE OF CALIFORNIA
CALIFORNIA TRANSPORTATION COMMISSION
CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT (PROPOSITION 116)
ALLOCATION REQUEST FOR NON-URBAN COUNTY TRANSIT PROJECTS

Part 1. Title and Certification

a. Transportation Planning Agency: _____

Address: _____

Contact Person: _____ Phone: _____

b. Applicant Agency: _____

Address: _____

Contact Person: _____ Phone: _____

c. Project Title: _____

d. Project Location (County, City or Cities): _____

e. Beginning Mile Post or Cross Street: _____

f. Ending Mile Post or Cross Street: _____

g. Amount of Proposition 116 Funds Requested: _____

h. Section(s) of Public Utilities Code Authorizing Project: _____

**Does this Allocation Request contain an updated cashflow table
which has been changed since your last request or progress
report?**

☐ Yes ☐ No

If yes indicate the revision number: _____

To the best of my knowledge and belief, the data and information in this allocation request are true and I am authorized to file this request on behalf of the Transportation Planning Agency.

Name and Title: _____

Signature (in blue ink): _____

Date of Signature: _____

- a. Please describe any changes in the project since submission of the original application.
- b. Provide a description of actual progress-to-date to the planned progress-to-date as originally identified in the application.
- c. Provide a project management plan and organizational charts that delineate lines of functional and decision making authority, including relationships with consultants and cooperating public agencies.
- d. Provide documents necessary for Caltrans to complete a management and financial review of this project (See Appendix A provided as an example, not all elements may apply) of this project been submitted?

- e. Provide documentation of compliance with the California Environmental Quality Act. Include one copy of the Notice of Determination and

- Notice of Exemption
- Negative Declaration, or
- Draft and Final Environmental Impact Reports.

If the project is exempt by statute but a Notice of Exemption was not completed, the request for allocation must include a statement that certifies that the project is statutorily exempt (this statement must be signed by an authorized agent representing the applicant agency).

**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
ALLOCATION REQUEST FOR NON-URBAN COUNTY TRANSIT PROJECT**

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- f. Complete the following financial plan showing all sources of capital funds that will be used to finance this and other phases of the project.

FUND SOURCE	Prior Allocation(s)	Current Allocation	Future Allocation(s)	Total Project Allocation
STATE GUIDEWAY (ART. XIX)				
TCI PROGRAM (TP&D)				
FEDERAL				
TDA (LTF & STA)				
PROPOSITION 108				
PROPOSITION 116				
FLEXIBLE CONGESTION RELIEF				
LOCAL SALES TAX				
LOCAL BONDS				
STATE-LOCAL PARTNERSHIP				
1988 STIP				
PRIVATE				
OTHER				
PROJECT TOTAL				

- g. Complete the following expenditure plan table which shows expenditures for various phases of the project.

EXPENDITURE TYPE	Prior Allocation	Current Allocation Request	Future Allocation	Total Project Allocation
Planning and Environment				
Engineering and Design				
Construction and Material				
Project Management				
Vehicles				
Right-of-Way				
PROJECT TOTAL				

**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
ALLOCATION REQUEST FOR NON-URBAN COUNTY TRANSIT PROJECT**

- h. Attach a list of the project components or activities which will be funded under the expenditure line-items identified in question 2 g (on the previous page). Include a description of the project components or activities and note the assumptions used to determine these expenditure levels. Please be specific in your descriptions.
- i. If your allocation request includes staff and overhead costs for project management activities, attach the cost allocation plan or other methodology used to determine these costs.
- j. If this allocation request includes funding under multiple sections of the Public Utilities Code, identify expenditures by section.

Section	Description	Current Request	Total Project

- k. Complete the following expenditure plan table which shows expenditure for this allocation request in relation to funding sources for this project.

	PROP 116	Prop 108	Local	State	Federal	Other	Phase Total
Planning and Environment							
Engineering and Design							
Construction and Materials							
Project Management							
Vehicles							
Right-of-Way							
PROJECT TOTAL							

**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
ALLOCATION REQUEST FOR NON-URBAN COUNTY TRANSIT PROJECT**

- l. Please indicate when expenditures will occur on a monthly basis. Attach additional sheets if required.

Enter Month and Year	1	2	3	4	5	6	Total
Planning and Environment							
Engineering and Design							
Construction and Materials							
Project Management							
Vehicles							
Right-of-Way							
PROJECT TOTAL							

- m. Please indicate when state reimbursements will be required on a monthly basis. Attach additional sheets if necessary.

Enter Month and Year	1	2	3	4	5	6	Total
Planning and Environment							
Engineering and Design							
Construction and Materials							
Project Management							
Vehicles -							
Right-of-Way							
PROJECT TOTAL							

- n. If changes to your projected cashflow expenditure plan have occurred since your last progress report or allocation request, update your cashflow expenditure plan on the following pages. If changes have not occurred, indicate this is the case.

Cost Category	PRIOR YEARS	CURRENT YEAR REQUEST
PLANNING & ENVRNMNT		
STATE GUIDEWAY (ART. XIX)		
TCI (TP&D)		
FEDERAL		
TDA (LTF & STA)		
PROPOSITION 108		
PROPOSITION 116		
FLEXIBLE CONGESTION RELIEF		
LOCAL SALES TAX		
LOCAL BONDS		
STATE-LOCAL PARTNERSHIP		
1988 STIP		
PRIVATE		
OTHER		
Sub Total	\$	\$
ENGINEERING & DESIGN		
STATE GUIDEWAY (ART. XIX)		
TCI (TP&D)		
FEDERAL		
TDA (LTF & STA)		
PROPOSITION 108		
PROPOSITION 116		
FLEXIBLE CONGESTION RELIEF		
LOCAL SALES TAX		
LOCAL BONDS		
STATE-LOCAL PARTNERSHIP		
1988 STIP		
PRIVATE		
OTHER		
Sub Total	\$	\$

**6. CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN PROJECT PROGRESS REPORT**

CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECTS
QUARTERLY PROJECT PROGRESS REPORT GUIDELINES

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I. PURPOSE AND AUTHORITY

These guidelines are intended to assist in the submission of quarterly progress reports for rail and non-urban county transit projects funded under the Clean Air and Transportation Improvement Act (Proposition 116), the Passenger Rail and Clean Air Bond Act of 1990 (Proposition 108), the Transit Capital Improvement Program (TCI), or the Flexible Congestion Relief (FCR) Program. These guidelines and forms have been prepared based on the California Transportation Commission's Financial Guidelines for Local Agency Reimbursement, adopted on June 20, 1991.

The quarterly rail and non-urban county transit projects progress reports provide the Commission and the California Department of Transportation (Caltrans) with valuable information about project activities and provides a mechanism for the early identification of variances in project budgets. In addition, these progress reports provide critical information about anticipated future allocation requests which allows the Commission and Caltrans to prepare for bonds sales and the cash requirements associated with these future requests. By identifying the timing and cash requirements of future allocation requests, the Commission and Caltrans will be able to more efficiently process these requests when they are received.

II. QUARTERLY PROGRESS REPORT PREPARATION

A project progress report is required for all rail projects which are in an adopted TCI list or current year State Transportation Improvement Program (STIP), or included in a Proposition 116 application approved by the Commission for the construction of capital facilities. - Each progress report must be submitted using the attached progress reporting forms. Additional information should be attached to these forms, if necessary, to support the contents of the report. If a progress report is not submitted, the Commission may withhold approval of future rail project allocation requests.

III. SUBMISSION REQUIREMENTS

Progress reports for each project must be submitted based on the following schedule:

<u>For the Period</u>	<u>Submission Date</u>
January-March	May 15
April-June	August 15
July-September	November 15
October-December	February 15

If an application is approved or a project is programmed during the middle of a reporting period, a progress report must be submitted for the partial period beginning with the date the application is approved and ending on the last day of the reporting period for the cycle. Similarly, if a capital project is completed in the middle of a reporting period, a progress report must be submitted for the partial period beginning with the first day of the reporting period and ending with the day that the project is completed. A progress report must be submitted for every reporting period until a project is completed, even if funds were not allocated during the reporting period.

**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECT
QUARTERLY PROGRESS REPORT GUIDELINES**

IV. QUARTERLY PROGRESS REPORT SUBMISSION

Progress reports for projects should be submitted as follows:

The original completed report should be sent to the Division of Mass Transportation:

California Department of Transportation
Division of Mass Transportation
Mr. Jay Riley, Chief
Office of State Assistance
P.O. Box 942874
Sacramento, CA 94274-0001

A second copy of the completed report should be sent to:

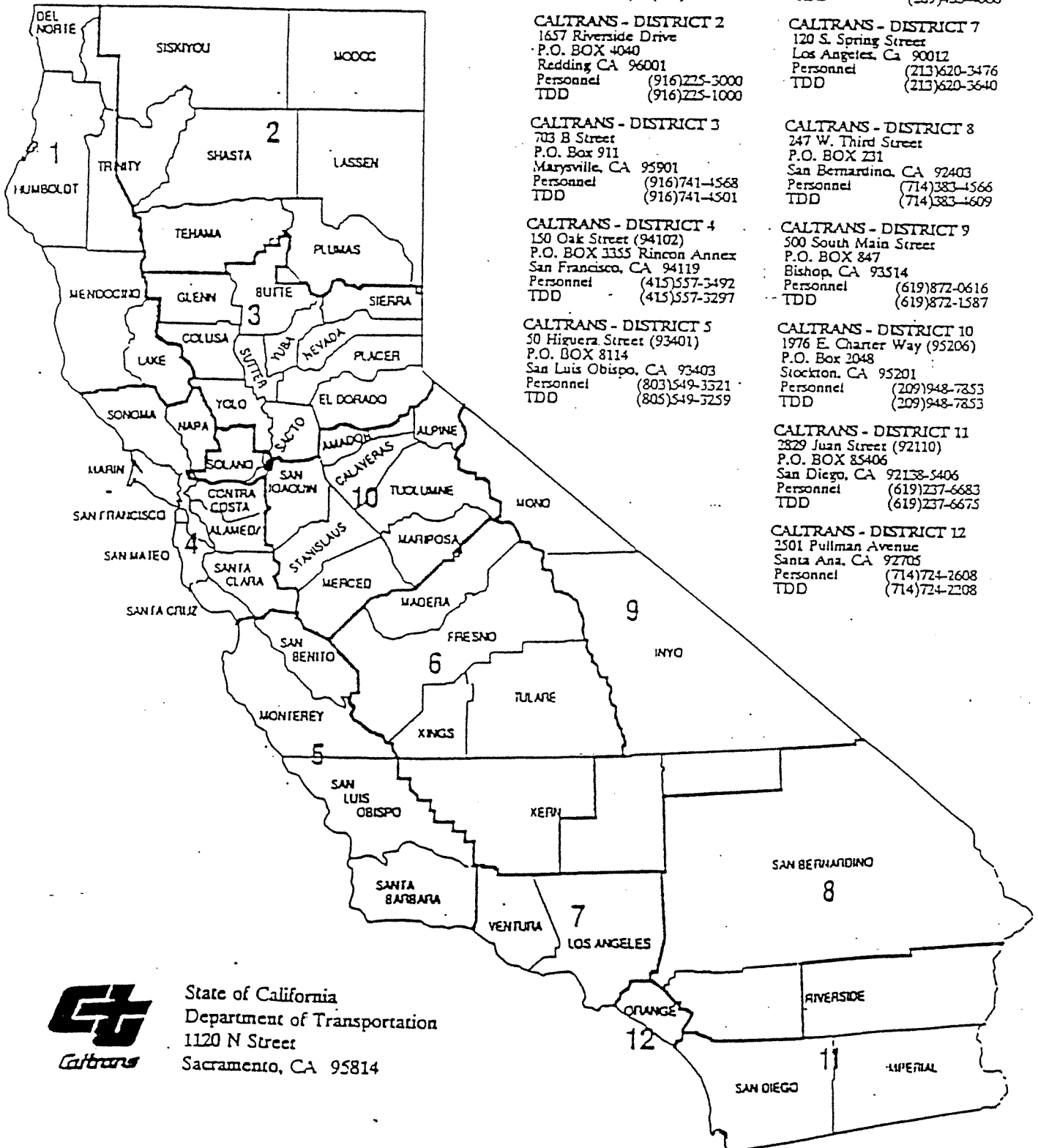
California Transportation Commission
Mr. Rick Vargas, Proposition 116 Program Manager
1120 "N" Street, Suite 2225
Sacramento, CA 95814

A third copy of the completed report should be sent to the appropriate Caltrans District Office (see attached list).

V. ADDITIONAL INFORMATION

Questions or requests for additional information regarding the Proposition 116 Non-Urban County Transit Projects can be directed to Dan Mundy, Office of State Assistance, (916) 327-7568.

DISTRICT BOUNDARY MAP AND LOCATIONS



State of California
 Department of Transportation
 1120 N Street
 Sacramento, CA 95814

CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECTS
QUARTERLY PROJECT PROGRESS REPORT GUIDELINES

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PART 1. TITLE AND CERTIFICATION

- a. Applicant Agency: _____
- b. Address: _____

- c. Contact Person: _____ Phone: _____
- d. Project Title: _____
- e. Project Location (County, City or Cities, Caltrans District): _____

- f. Beginning Mile Post or Cross Street: _____
- g. Ending Mile Post or Cross Street: _____
- h. Reporting Period (Mo./Yr. to Mo./Yr.): _____
- i. STIP Number: _____
- j. TCI Program FY: _____
- k. Advance Approval of Local Match per CTC Policy G-91-11 (SB 2800).
CTC Resolution No. _____
- l. Project Approval per CTC Policy G91-9, CTC Resolution No. _____
- m. Agency Certification for Project Management Review (SB 580 or
equivalent). Date: _____
- n. Project Certifications for Project Management Review (SB 580 or
equivalent). Date: _____

Does this Allocation Request contain an updated cashflow
table which has been changed since your last request or progress
report?

☐ Yes ☐ No

If yes indicate the revision number: _____

To the best of my knowledge and belief, the data and information in this
progress report are true and I am authorized to file this report on behalf of
the applicant.

Name and Title: _____

Signature (in blue ink): _____

Date of Signature: _____

PART 2. PROJECT DESCRIPTION

- a. Please describe any changes in the project description since submission of the original application or your last progress report.
- b. Provide a description of actual project progress-to-date versus planned progress-to-date as originally identified in the project application. Describe any changes or adjustment to the schedule for the rest of the project based on actual past experience. Provide reasons for adjustments. Provide a description of work accomplished during the quarter.
- c. Provide a description of work to be accomplished in next quarter.

**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECT
QUARTERLY PROGRESS REPORT GUIDELINES**

- d. Provide a list of anticipated requests requiring Commission action during the next six months which include, but are not limited to, the following:

(Dollars in Thousands)

Action Requested		Amount	State Fund Source	Expenditure Category*	Month/ Year
STIP Amendment	1. 2. 3.				
Proposition 116 Application	1. 2. 3.				
Advance Local Match (SB 2800)	1. 2. 3.				
Allocation Request	1. 2. 3.				
Other _____	1. 2. 3.				

* Use expenditure categories listed under Part 2. "f" below.

CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECT
QUARTERLY PROGRESS REPORT GUIDELINES

- e. Complete the following revenue summary showing all sources of capital funds

(Dollars in Thousands)

Fund Source	Amount
LOCAL (total):	
LTF	
Local Bonds	
Local Sales Tax	
Other	
Private	
State (total):	
TCI Program	
Rail Bonds (Proposition 108)	
CATIA (Proposition 116)	
Flexible Congestion Relief	
State-Local Partnership	
1988 STIP	
STA	
Other	
Federal (total)	
ISTEA Section 9	
FTA Section 9	
FTA Section 3	
Other	
PROJECT TOTAL	

Quarterly Progress Report

f. Complete the following expenditure summary of project activities. To provide a financial history of the project through completion, update all current and past allocations and Fund Transfer Agreement information in this summary on a quarterly basis. (Use additional sheet if necessary.)

(Dollars in Thousands)

Expenditure Category	Total Cost	CTC Allocation Amount	Allocation Amount	*Fund Source	Fund Transfer Agreement Number	Fund Transfer Agreement Date	Reimburse -ment Previous Period	Reimburse -ment Current Period	Total Reimburse -ment To Date	Percent Expended	Balance of Allocation
Planning and Environment											
Engineering and Design											
Construction and Material											
Project Management											
Vehicles											
Right-of-Way											
PROJECT TOTAL											

*Use fund source, as appropriate, listed under Part 2. "e" above.

Cost Category	PRIOR YEARS	CURRENT YEAR REQUEST
PLANNING & ENVRNMNT		
STATE GUIDEWAY (ART. XIX)		
TCI (TP&D)		
FEDERAL		
TDA (LTF & STA)		
PROPOSITION 108		
PROPOSITION 116		
FLEXIBLE CONGESTION RELIEF		
LOCAL SALES TAX		
LOCAL BONDS		
STATE-LOCAL PARTNERSHIP		
1988 STIP		
PRIVATE		
OTHER		
Sub Total	\$	\$
ENGINEERING & DESIGN		
STATE GUIDEWAY (ART. XIX)		
TCI (TP&D)		
FEDERAL		
TDA (LTF & STA)		
PROPOSITION 108		
PROPOSITION 116		
FLEXIBLE CONGESTION RELIEF		
LOCAL SALES TAX		
LOCAL BONDS		
STATE-LOCAL PARTNERSHIP		
1988 STIP		
PRIVATE		
OTHER		
Sub Total	\$	\$

Cost Category	PRIOR YEARS	CURRENT YEAR REQUEST
CONSTRUCTION & MATER.		
STATE GUIDEWAY (ART. XIX)		
TCI (TP&D)		
FEDERAL		
TDA (LTF & STA)		
PROPOSITION 108		
PROPOSITION 116		
FLEXIBLE CONGESTION RELIEF		
LOCAL SALES TAX		
LOCAL BONDS		
STATE-LOCAL PARTNERSHIP		
1988 STIP		
PRIVATE		
OTHER		
Sub Total	\$	\$
PROJECT MANAGEMENT		
STATE GUIDEWAY (ART. XIX)		
TCI (TP&D)		
FEDERAL		
TDA (LTF & STA)		
PROPOSITION 108		
PROPOSITION 116		
FLEXIBLE CONGESTION RELIEF		
LOCAL SALES TAX		
LOCAL BONDS		
STATE-LOCAL PARTNERSHIP		
1988 STIP		
PRIVATE		
OTHER		
Sub Total	\$	\$

[illegible]

Quarterly Progress Report

- f. Complete the following expenditure summary of project activities. To provide a financial history of the project through completion, update all current and past allocations and Fund Transfer Agreement information in this summary on a quarterly basis. (Use additional sheet if necessary.)

(Dollars in Thousands)

Expenditure Category	Total Cost	CTC Allocation Amount	Allocation Amount	*Fund Source	Fund Transfer Agreement Number	Fund Transfer Agreement Date	Reimbursement Previous Period	Reimbursement Current Period	Total Reimbursement To Date	Percent Expended	Balance of Allocation
Planning and Environment											
Engineering and Design											
Construction and Material											
Project Management											
Vehicles											
Right-of-Way											
PROJECT TOTAL											

*Use fund source, as appropriate, listed under Part 2. "e" above.

CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECT
QUARTERLY PROGRESS REPORT GUIDELINES

- g. If the cost for any of the six expenditure categories in the expenditure summary (Part 2. "f" above) have changed since programming or approval of the project application or submission of the last progress report, identify the item(s) which have increased or decreased in cost. In addition, provide details which support these changes and indicate the funding source that will be impacted by the cost changes. Please be specific in your description.
- h. If changes to your projected cash flow expenditure plan have occurred since your last progress report or allocation request, update your cash flow expenditure plan on the following pages. If changes have not occurred, indicate this is the case.

**CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT
NON-URBAN COUNTY TRANSIT PROJECTS
GUIDELINES FOR MONITORING VEHICLES**

These guidelines are to insure that vehicles are maintained and remain in use for their useful service life in accordance with the grant for which they were received. The service life of transit and paratransit vehicles begins on the date the vehicle is placed in service and continues until it reaches its useful service life in miles and/or years of service.

The Department, at a minimum, will conduct one on-site vehicle inspection within the first year of operation. In addition, the Department reserves the right to conduct an on-site vehicle inspection, during the useful service life to insure they are maintained and remain in use and available for service.

Useful Service Life for Vehicles

- Transit Vehicles:** (medium to heavy duty transit vehicles over 30'): at least ten years of service or an accumulation of at least 350,000 miles.
- Paratransit Vehicles:** (sixteen to twenty-four passenger buses): at least seven years service or an accumulation of at least 200,000 miles.
- Minivans:** (includes eight to fifteen passenger vehicles) at least four years service or an an accumulation of 100,000 miles.

The sale, transfer of title or other disposition of a vehicle prior to reaching their useful service life must have CTC's prior approval. In addition, the State shall be reimbursed its share, measured by the ratio of STATE and other public funding to that provided by RECIPIENT and that ratio applied to the fair market value of the property sold.

7. CLEAN AIR AND TRANSPORTATION IMPROVEMENT ACT

FINANCIAL GUIDELINES

for LOCAL AGENCY REIMBURSEMENT

FINANCIAL GUIDELINES
FOR LOCAL AGENCY REIMBURSEMENT

Flexible Congestion Relief program
Traffic System Management program
Transit Capital Improvement program
Environmental Enhancement & Mitigation program
State rail bond programs (Proposition 108 and 116)

June 20, 1991

FINANCIAL GUIDELINES

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